



Approved for use through 10/31/2002. OMB 0651-0031
 U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE
 Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number

Substitute for form 1449A/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT (use as many sheets as necessary)		Complete if Known	
		Application Number	10/631,243
		Filing Date	July 31, 2003
		First Named Inventor	Seaman
		Art Unit	
		Examiner Name	
Sheet	1	of	3
		Attorney Docket Number	020420

U.S. PATENT DOCUMENTS					
Examiner Initials*	Cite No. ¹	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number - Kind Code ² (if known)			
/A.L./		US 2002/0032642 A1	03-14-2002	Chichilinsky	
/A.L./		US 2002/0065752 A1	05-30-2002	Lewis	

FOREIGN PATENT DOCUMENTS						
Examiner Initials*	Cite No. ¹	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	† ⁶
		Country Code ³ -Number ⁴ -Kind Code ⁵ (if known)				

Examiner Signature	/Alan Liu/	Date Considered	06/17/2008
-------------------------------	------------	----------------------------	------------

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹ Applicant's unique citation designation number (optional). ² See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.

Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, -0228540.0131

PI-1084405 v1

ALL REFERENCES CONSIDERED EXCEPT WHERE LINED THROUGH. /A.L./



PTO/SB/08B (10-01)
 Approved for use through 10/31/2002. OMB 0651-0031
 U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE
 Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a
 valid OMB control number

Substitute for form 1449A/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT <i>(use as many sheets as necessary)</i>		Complete if Known			
		Application Number	10/631,243		
		Filing Date	July 31, 2003		
		First Named Inventor	Seaman		
		Art Unit			
		Examiner Name			
Sheet	2	of	3	Attorney Docket Number	020420

NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	T ²
/A.L./		"Xcitek offers Exchange Data International data via Xcitek.com," printed from http://www.exchange-data.com/products/press/xcitek.asp Internet site, accessed on 6/28/2002, 3 pages.	
/A.L./		"Corporate Actions Processing System," printed from http://www.exchange-data.com/products/corppactprocess.asp Internet site, accessed on 6/28/2002, 5 pages.	
/A.L./		CRISTINA McEACHERN, "Raymond James Signs With Xcitek For Corporate Actions Processing," <i>Wall Street & Technology Magazine</i> , printed from http://www.wallstreetandtech.com/story/mag/WST20010514S0011 Internet site, accessed on 6/27/2002, 2 pages.	
/A.L./		"eActions: A Unique and Exciting Corporate Actions Notification Service," printed from http://www.eactions.hubdata.com/ Internet site, accessed on 6/27/2002, 1 page.	
/A.L./		"Meeting the Needs of Growing Advisors," printed from http://www.eactions.hubdata.com/info.asp Internet site, accessed on 6/27/2002, 2 pages.	
/A.L./		"Frequently Asked Questions," printed from http://www.eactions.hubdata.com/faq.asp Internet site, accessed on 6/27/2002, 2 pages.	
/A.L./		"CAMS Corporate Actions Management System," printed from http://www.affsols.com/statichtml/camspg.html Internet site, accessed on 6/11/2002, 1 page.	
/A.L./		"Sponsors," printed from http://www.sia.com/ops2002/html/sponsors.html Internet site, accessed on 7/1/2002, 10 pages.	

Examiner Signature	/Alan Liu/	Date Considered	06/17/2008
---------------------------	------------	------------------------	------------

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹ Applicant's unique citation designation number (optional). ² Applicant is to place a check mark here if English language Translation is attached.

Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

ALL REFERENCES CONSIDERED EXCEPT WHERE LINED THROUGH. /A.L./



PTO/SB/08B (10-01)

Approved for use through 10/31/2002. OMB 0651-0031

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number

Substitute for form 1449A/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT <i>(use as many sheets as necessary)</i>		<i>Complete if Known</i>	
		Application Number	10/631,243
		Filing Date	July 31, 2003
		First Named Inventor	Seaman
		Art Unit	
		Examiner Name	
Sheet	3	of	3
		Attorney Docket Number	020420

NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	T ²
/A.L./		XCITEK CONSULTING SERVICES, INC., "System Features & Functionality," September 1996, New York, NY, 17 pages.	
/A.L./		XCITEK and SOLUTIONS PLUS, "The Xcitek Solutions Plus Corporate Actions Processing Application, System Features & Functionality," March 1999, New York, NY, 32 pages.	
/A.L./		"Xcitek Update," Summer 1996, 1 page.	
/A.L./		"Now You Can Take Complete Control of all Corporate Actions Plus Provide Proper Notification to Your Clients," Solutionsplus, 1 page.	
/A.L./		United States Patent Application No. 10/631,165, filed July 31, 2003. (Attorney Docket No. 020673)	

Examiner Signature	/Alan Liu/	Date Considered	06/17/2008
--------------------	------------	-----------------	------------

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹ Applicant's unique citation designation number (optional). ² See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.

Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

ALL REFERENCES CONSIDERED EXCEPT WHERE LINED THROUGH. /A.L./